Logic Model Training for HUD Program Staff And Grantee Applicants

U.S. Department of Housing and Urban Development

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Measurement and Accountability

Congress passes the Government Performance and Results Act (GPRA) in 1993 establishing strategic planning and performance measurement in the Federal government and federally funded programs. "The purposes of this Act are to – improve Federal program effectiveness and public accountability by promoting a new focus on results, service quality and customer satisfaction – help Federal managers improve service delivery, by requiring that they plan for meeting program objectives and by providing them with information about program results and service quality."

- Establish performance goals to define the level of performance to be achieved by a program activity.
- Express such goals in an objective, quantifiable, and measurable form.
- Describe the operational processes, skills, technology, and the human capital, information, or other resources required to meet the performance goals.
- Establish performance indicators to be used in measuring or assessing the relevant outputs, service levels, and outcomes of each program activity.
- Provide a basis for comparing the actual program results with the established performance goals.
- Describe the means to be used to verify and validate measured values.

Government Performance and Results Act of 1993, (b) Performance Plans and Reports, Section 1115.

HUD's Strategic Goals (a-f)

a: Increase homeownership opportunities.

1. Expand national homeownership opportunities.
2. Increase minority homeownership.
3. Make the home buying process less complicated and less expensive.
4. Fight practices that permit predatory lending.
5. Help HUD-assisted renters become homeowners.
6. Keep existing homeowners from losing their homes.

b: Promote decent affordable housing.

1. Expand access to affordable rental housing.
2. Improve the physical quality and management accountability of public and assisted housing.
3. Increase housing opportunities for the elderly and persons with disabilities.
4. Help HUD-assisted renters make progress toward self-sufficiency.

c: Strengthen communities.

1. Provide capital and resources to improve economic conditions in distressed communities.
2. Help organizations access the resources they need to to make their communities more livable.
3. End chronic homelessness.
4. Mitigate housing conditions that threaten health.

d: Ensure equal opportunity in housing.

1. Resolve discrimination complaints on a timely basis.
2. Promote public awareness of Fair Housing laws.
3. Improve housing accessibility for persons with disabilities.

HUD's Strategic Goals (a-f)

e: Embrace high standards of ethics, management, and accountability.

1. Rebuild HUD's human capital and further diversify its workforce.
2. Improve HUD's management and its internal controls and systems, as well as resolve audit issues.
3. Improve accountability, service delivery, and customer service of HUD and our partners.
4. Ensure program compliance.

f: Promote participation of grass-roots faith-based and other community-based organizations.

1. Reduce regulatory barriers to participation by grassroots faith-based and other community-based organizations.
2. Conduct outreach to inform potential partners of HUD opportunities.
3. Expand technical assistance resources deployed to grassroots faith-based and other community-based organizations.
4. Encourage partnerships between grass-roots faith-based and other community-based organizations and HUD's traditional grantees.

HUD's Policy Priorities (a-g)

a. Providing increased homeownership and rental opportunities for low and moderate income persons, persons with disabilities, the elderly, minorities, and persons with limited English proficiency.

b. Improving our nation's communities.

c. Encouraging accessible design features.

d. Providing full and equal access to grass-roots faith-based and other community-based organizations in HUD program implementation.

e. Participation of minority-serving institutions (MSIs) in HUD programs.

f. Ending chronic homelessness.

g. Removal of regulatory barriers to affordable housing.

h. Participation in Energy Star.

Introduction to the Logic Model

What is the Logic Model?

- The logic model is a tool that integrates program operations and program accountability. The logic model can be used to support planning, monitoring, evaluation and other management functions of a HUD funded program or agency.

- The logic model links public policy and program operations, Columns 1-7 of the logic model (HUD's Strategic Goals, HUD's Policy Priorities, need, services, projected and actual outputs, and projected and actual outcomes or results).

- The logic model links public policy and program operations, Columns 1-7, with program accountability, Columns 8-9 (measurement reporting tools, and the evaluation process).

- All Logic Models share common characteristics including identification of: the problem or need, the service or activity, and outcomes and measurement reporting tools. The Logic Model presented here was custom designed for use in this SuperNOFA funding.

- The logic model is an abstract of the program or service that is under consideration for funding or has already been funded. **The logic model is representative of the entire grant application and serves as the "executive summary" for the grant request. In this context it is used to make a "first impression."** Simply, the potential grantee must ensure that the logic model accurately conveys the purpose of the funding request and the expected impact on people and their community.

Why Does HUD Use a Logic Model?

Data from the HUD logic model can be used to support management and monitoring activities including:

- How grantees perform with regard to meeting projected outputs and outcomes.
- The ability to monitor program activity while it is occurring rather than after the fact.
- The ability to institute preventive corrective action to support on-going operations rather than a post evaluation remedy after the fact.
- The ability to identify successful programs and why they are successful.
- The ability to replicate successful programs in other sites based on good information from existing programs.
- The extent to which HUD's Strategic Goals and Policy
- Priorities are being addressed in communities across the United States.
- How well HUD funded programs are being implemented in communities across the United States.
- The ability to establish norms and realistic standards of performance based on actual experience in the field.
- The ability to compare grantees within and across states.

Logic Model

U.S. Department of Housing and Urban Development
Office of Departmental Grants Management and Oversight

OMB Approval No. 2535-0114
(exp.12/31/2006)

Program Name:____________________						**Component Name:**____________________				
Strategic Goals	**Policy Priorities**	**Problem, Need, Situation**	**Service or Activity**	**Benchmarks**		**Outcomes**		**Measurement Reporting Tools**	**Evaluation Process**
				Output Goal	**Output Result**	**Achievement Outcome Goals**	**End Results**		
1		2	3	4	5	6	7	8	9
Policy		**Planning**		**Intervention**		**Impact**		**Accountability**	
				Short Term				a. b. c. d. e.	
				Intermediate Term				a. b. c. d. e.	
				Long Term				a. b. c. d. e.	

HUD's Strategic Goals: a-f

Policy Priorities: a-g

How To Complete the HUD Logic Model

Federal Register/Vol.70 No.53/Monday, March 21, 2005 Notices
Logic Model Instructions – OMB Approval No. 2535-0114 (exp. 12/31/2006)
U.S. Department of Housing and Urban Development
Office of Departmental Grants Management and Oversight

The public reporting burden for this collection of information is essential to average 18 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information and preparing the application package for submission to HUD. HUD may not conduct, and a person is not required to respond to a collection of information unless that collection displays a valid control number.

Program Name: The HUD funding program under which you are applying. If you are applying for a component of a program please include the Program Name as well as the Component Name.

Component Name: The HUD funding program under which you are applying.

Column 1: *HUD's Strategic Goals.* Indicate in this column **the letter** of the goal(s) that your proposed service or activity is designed to achieve. HUD's strategic goals are:

a. Increase homeownership opportunities.
b. Promote decent affordable housing.
c. Strengthen communities.
d. Ensure equal opportunity in housing.
e. Embrace high standards of ethics, management, and accountability.
f. Promote participation of grass-roots faith-based and other community-based organizations.

Action – Column 1 – Strategic Goals – Policy: Identify which of the six HUD Strategic Goals are to be addressed in the logic model. You can identify more than one goal. Use the letter(s) provided in the logic model.

Caution!

Only list those Goals that your program actually addresses. Adding more goals does not necessarily improve your chances to get funded. If you list a Goal and your program does not fully address that goal, your proposal could be considered deficient.

How To Complete the HUD Logic Model

***Policy Priority*:** Indicate in this column **the letter** of the HUD Policy Priority(ies), if any, your proposed service or activity promotes. Applicants are encouraged to undertake specific activities that will assist the Department in implementing its Policy Priorities. HUD's Policy Priorities are:

a. Providing increased homeownership and rental opportunities for low and moderate income persons, persons with disabilities, the elderly, minorities, and families with limited English proficiency.
b. Improving our nation's communities.
c. Encouraging accessible design features.
d. Providing full and equal access to grass-roots faith-based and other community-based organizations in HUD program implementation.
e. Participation of minority-serving institutions (MSIs) in HUD programs.
f. Ending chronic homelessness.
g. Removal of regulatory barriers to affordable housing.

Action – Column 1 – Policy Priorities – Policy: Identify which of the seven HUD Policy Priorities are to be addressed in the logic model. You can identify more than one priority. Use the letter(s) provided in the logic model.

Column 2: **Problem, Need, or Situation**: Provide a general statement of need that provides the rationale for the proposed service or activity.

Action – Column 2 – Problem, Need, Situation – Planning: See above. Use the Federal Register for additional background information.

The problem statement should describe, "What, Who, Where and the Magnitude." That is, "What is the problem? Who has the problem? Where is the problem? What is its magnitude?"

Column 3: **Service or Activity:** Identify the activities or services that you are undertaking in your work plan which are crucial to the success of your program. Not every activity or service yields a direct outcome.

Action – Column 3 – Service or Activity – Planning: See above. Use the Federal Register for additional background information.

Use activities given in the Federal Register as eligible services or activities for the particular HUD Program and Component you are applying to.

How To Complete the HUD Logic Model

Column 4 and Column 5: **Benchmarks:** These columns ask you to identify benchmarks that will be used in measuring the progress of your services or activities. Column 4 asks for specific interim or final products (called outputs) that you establish for your program's services or activities. Column 5 should identify the results associated with the product or output. These may be numerical measures characterizing the results of a program activity, service or intervention that are used to measure performance. These outputs should lead to targets for achievement of outcomes. Results should be represented by both the actual # and % of the goal achieved.

> Column 4: **Benchmarks/Output Goal:** Set quantifiable output goals, including timeframes. These should be products or interim products, which allow you and HUD to monitor and assess your progress in achieving your program workplan.
>
> Column 5: **Benchmark/Output Result:** Report actual result of your benchmarks. The actual result could be the number of housing units developed or rehabilitated, jobs created, or number of person assisted. Outputs may be short, intermediate or long-term. **(Do not fill out this section with the application).**

Action – Column 4 – Benchmark/ Output Goal – Intervention: In this column, set quantifiable goals including timeframes. These should be interim products which allow you and HUD to monitor and assess your progress in achieving your program work plan.

Output statements should specify a quantity of program output or implementation. This could be number of persons counseled, or mortgages refinanced, or houses tested for lead paint, or persons trained, etc. Use numbers not percentages. Outputs are quantified statements of your Activities.

Action – Column 5 – Benchmark/ Output Result – Intervention: Report actual results at completion of the performance period. This is accomplished by comparing the targeted output from Column 4 with the actual output achieved. In this column write both the number and the percentage of the output achieved. Outputs could be the actual number of persons assisted or received services or the actual number of units delivered or produced.

Caution! Do not make entries in Column 5 on your proposal. This column is for reporting your "actual" results during the implementation of the program.

How To Complete the HUD Logic Model

Column 6 and Column 7: **Outcomes:** Column 6 and Column 7 ask you to report on your expected and actual outcomes-the ultimate impact you hope to achieve. Column 6 asks you to identify outcomes in terms of the impact on the community, people's lives, and changes in economic or social status, etc. Column 7 asks for the actual result of the outcome listed in Column 6, which should be updated as applicable.

> Column 6: **Outcomes/Goals:** Identify the outcomes that resulted in broader impacts for individuals, families/households, and/or the community. For example, the program may seek to improve the environmental conditions in a neighborhood, increase affordable housing, increase the assets of a low-income family, or improve self-sufficiency.
>
> Proxy Outcome(s): Often direct measurement of the intended outcome is difficult or even impossible—to measure. In these cases, applicants/grantees should use a proxy or surrogate measure that corresponds with the desired outcome. For example, improving quality of life in a neighborhood could be measured by a proxy outcome such as increases in home prices or decreases in crime. Training programs could be measured by the participant's increase in wages or reading skills. The person receiving the services must meet eligibility requirements of the program.
>
> Column 7: **Outcomes/Actual Result:** Identify specific achievements of outcomes listed in Column 6. **(Do not fill out this section with the application).**

Action – Column 6 – Achievement of Outcome Goals – Impact: Identify the expected outcome and the estimated number of persons expected to achieve it or the expected outcome in terms of community impact or changes in economic and social status**.** Outcomes can also be described as having short, intermediate, and long term characteristics. If the outcome is a proxy outcome, provide an explanation of why a proxy outcome was chosen.

Outcome statements should be strongly related to the initial problem statement given in column 2. The Outcome Statement should give a quantitative estimate of your program's impact or effect on people or communities. This might take the form of "number of persons acquiring permanent housing, "number of new housing units made available, increasing the tax base of the community as a as a result of new homes, percentage increase in household income resulting from the program, number of persons establishing good credit."

How To Complete the HUD Logic Model

Action – Column 7 – End Results – Impact: Report actual results at the completion of the performance period. Identify the actual outcome and the actual number of persons achieving it or the actual outcome in terms of community impact or changes in economic and social status.

- Outcomes must be collected for each client or for every situation.
- Use real numbers for projecting both the output and outcome targets. Be reasonable and accurate. If you are unsure, or the program is new, provide an explanation to support your projected outputs and outcomes.

Caution!

Do not make entries in column 7 for your proposal. This column is for reporting "actual" outcomes during the course of program implementation.

Column 8: **Measurement Reporting Tools:** (a) List the tools used to track output or outcome information, e.g. survey instrument; attendance log; case report; pre-post test; waiting list; etc., (b) Identify the place where data is maintained, e.g. central database; individual case records; specialized access database, tax assessor database; local precinct; other: (c) Identify the location, e.g. on-site; subcontractor; other; (d) Indicate how often data is required to be collected, who will collect it, and how often data is reported to HUD; and (e) Describe methods for retrieving data, e.g., data from case records is retrieved manually, data is maintained in an automated database. This tool will be available for HUD review and monitoring and should be used in submitting reporting information.

Action – Column 8 – Measurement Reporting Tools – Accountability: See above.

Column 8 specifically asks for five things about the data you intend to collect:
(a) Source,
(b) Where Maintained,
(c) Where collected,
(d) When collected, and
(e) How processed?

It is essential to think through these five elements in order to design a process for collecting data that is at least, minimally effective for measuring outputs and outcomes. Program managers should analyze data to determine if the program is meeting the goals established in the logic model in concert with the timelines established for completing the work.

How To Complete the HUD Logic Model

Column 9: **Evaluation Process:** Identify the methodology you will periodically use to assess your success in meeting your benchmark output goals and output results, outcomes associated to the achievement of the purposes of the program, as well as the impact that the work has made on the individuals assisted, the community, and the strategic goals of the Department. If you are not meeting the goals and results projected for your performance period, the evaluation process should be used as a tool to ensure that you can adjust your schedules, timing, or business practices to ensure that goals are met within your performance period.

Action – Column 9 – Evaluation Process – Accountability: The Logic Model, itself, is both a program plan and an evaluation plan. Column 9 is where you put it all together and, perhaps, add a focus (or two or three). The Logic Model outlines a problem, an intervention, a hoped for outcome, and the measurements of these things. Now, in column 9, describe how you will combine these elements to make a statement about the effectiveness of the program, or how will you use information about these things to provide feedback for improving or sustaining the effort.

One way to go about developing the evaluation process is to frame a question that spans across columns 2 through 8. How many persons with the problem, what services did they get and how many participated, what were and how many outcomes were achieved? Were there unanticipated outcomes that you are reporting?

Example: Compare credit scores before and six months after budget counseling.

Example: Compare totals for troubled renters who enrolled and completed program, by possible outcomes: (1) remained, (2) relocated, (3) evicted to emergency shelter, (4) other living arrangement, (5) evicted and homeless, (6) unknown.

Example: Compile ratios: Total houses inspected, to Total found contaminated, and Total found contaminated to Total houses remediated.

Next, look at the measurement tools in column 8. Here you have the tools to measure interventions and outcomes. In your logic model describe how these tools are used in the data collection process. Your analysis should identify whether the targeted output and outcomes have been met, and if not, why not. If not, were there problems in program implementation? If so, is there a corrective plan of action or an explanation as to why the actual program implementation was different that that written in the logic model? Is the agency utilizing the lessons learned to improve performance in the future?

How to Evaluate a HUD Logic Model

Column 1 – Strategic Goals – Policy

- ❑ Were the Strategic Goals identified? <u>Column 1</u>

  There are the six HUD Strategic Goals:

  a. Increase homeownership opportunities.
  b. Promote decent affordable housing.
  c. Strengthen communities.
  d. Ensure equal opportunity in housing.
  e. Embrace high standards of ethics, management, and accountability.
  f. Promote participation of grass-roots faith-based and other community-based organizations.

⇒ Was the description of the problem, need, or situation consistent with the identified HUD Strategic Goal?

⇒ Was the service or activity consistent with the identified HUD Strategic Goal?

Column 1 – Policy Goals – Policy

- ❑ Were the Policy Priorities identified? <u>Column 1</u>

  These are the seven HUD Policy Priorities:

  a. Providing increased homeownership and rental opportunities for low and moderate income persons, persons with disabilities, the elderly, minorities, and families with limited English proficiency.
  b. Improving our nation's communities.
  c. Encouraging accessible design features.
  d. Providing full and equal access to grass-roots faith-based and other community-based organizations in HUD program implementation.
  e. Participation of minority-serving institutions (MSIs) in HUD programs.
  f. Ending chronic homelessness.
  g. Removal of regulatory barriers to affordable housing.

⇒ Was the description of the problem, need, or situation consistent with the identified HUD Policy Priority?

⇒ Was the service or activity consistent with the identified HUD Policy Priority?

How to Evaluate a HUD Logic Model

Column 2 – Problem, Need, Situation – Planning

- Is the problem, need, or situation statement clear? Column 2

  ⇒ Is the written statement clear and concise, and does it clearly identify the problem, need, or situation?

  ⇒ Is the problem, need, or situation statement consistent with the identified HUD Strategic Goal(s)?

  ⇒ Is the problem, need, or situation statement consistent with the identified HUD Policy Priority(ies)?

Column 3 – Service or Activity – Planning

- Does the service or activity match the need? Column 3

  ⇒ Are the services or activities identified by the grantee consistent with the problem, need, or situation identified in Column 2?

  ⇒ Is a timeframe established and is it realistic?

  ⇒ Is the number of people or number of services offered identified in the service or activity?

Column 4 – Benchmarks – Output Goal – Intervention

- Does the output(s) match the service or activity identified in Column 3?

  ⇒ Is all relevant output information contained in Column 4? Do the outputs contain the actual number of persons assisted or received services or the actual number of units delivered or produced.

  ⇒ Are the output goals realistic?

  ⇒ Do the outputs contain timeframes?

How to Evaluate a HUD Logic Model

⇒ Is the output(s) measurable? Can you count it?

⇒ Are the identified outputs useful for your own agency to monitor and assess progress in achieving the program work plan?

⇒ Are the identified outputs useful for HUD to monitor and assess progress in achieving the program work plan?

⇒ Is the output goal(s) described as having short, intermediate, and long term characteristics?

⇒ Does the logic model sufficiently differentiate between short, intermediate, and long term characteristics and are they clear to the reader?

Column 5 – Benchmarks – Output Result – Intervention

This evaluation is conducted at some time <u>after</u> the program or service has been implemented.

- How does the actual output result(s) compare to the original output goal(s)?

⇒ Is the actual output result the same as the output goal?

⇒ Is the actual output result higher than the output goal? If yes, how much higher (both # and %) and was an explanation provided?

⇒ Is the actual output result lower than the output goal? If yes, how much lower (both # and %) and was an explanation provided?

Column 6 – Outcomes – Achievement Outcome Goals – Impact

- Does the expected outcome in <u>Column 6</u> match the output goal in Column 4?

⇒ Does all relevant outcome information contained in Column 6 include the <u>estimated</u> number of persons expected to achieve the outcome or the expected outcome(s) in terms of community impact or changes in economic and social status**.**

⇒ Are the expected outcomes realistic in terms of the # or % projected?

How to Evaluate a HUD Logic Model

⇒ Are the expected outcomes realistic in terms of the program or service?

⇒ Are the expected outcomes consistent with Column 2 – Problem, Need, and Situation?

⇒ Are the expected outcomes consistent with Column 3 – Service or Activity?

⇒ Do the outcomes contain timeframes?

⇒ Are the outcomes described as having short, intermediate, and long term characteristics?

⇒ Does the logic model sufficiently differentiate between short, intermediate, and long term characteristics and are they clear to the reader?

⇒ If the outcome is a proxy outcome, was an explanation provided explaining why the proxy outcome was chosen?

Column 7 – Outcomes – Achievement Outcome Goals – End Results

This evaluation is conducted at some time after the program or service has been implemented.

❑ How does the actual outcome(s) compare to the original estimated outcome(s)?

⇒ Is the actual outcome(s) the same as the estimated outcome(s)?

⇒ Is the actual outcome higher than the estimated outcome(s)? If yes, how much higher (both # and %) and was an explanation provided?

⇒ Is the actual outcome lower than the estimated outcome(s)? If yes, how much lower (both # and %) and was an explanation provided?

How to Evaluate a HUD Logic Model

Column 8 – Measurement Reporting Tools

- Was a specific measurement tool(s) identified? Column 8
  - ⇒ Were specific tools identified for use in tracking output or outcome information e.g. survey instrument; attendance log; case report; pre-post test; waiting list; etc?
  - ⇒ Was a process described for data collection?
  - ⇒ Was a place(s) identified where data is maintained, e.g. central database; individual case records; specialized access database, tax assessor database; local precinct, other?
  - ⇒ Was a location(s) identified where the data is collected, e.g. on-site; subcontractor; other?
  - ⇒ Were all sources of data identified?
  - ⇒ Was the frequency of data collection identified in terms of weekly, monthly or quarterly reporting internally and to HUD?
  - ⇒ Were the methods for retrieving data, e.g., data from case records is retrieved manually; data is maintained in an automated database, etc. described?

Column 9 – Evaluation Process – Accountability

- Was an evaluation methodology identified that can be used to periodically assess your progress in meeting your benchmark output goals and output results?
  - ⇒ Was an evaluation methodology identified that can be used to periodically assess your progress achieving outcomes associated with the purposes of the program, as well as the impact that the work has made on the individuals assisted, the community, and the strategic goals of the Department?

How to Evaluate a HUD Logic Model?

Overall

- Is the logic model complete and accurate? Is the information contained in each column the correct information for all columns, 1-9?
- Does the logic model contain the correct information but not always in the appropriate columns?
- Did the applicant incorrectly provide information in Column 5 (output result) and/or column 7 (end result) in the application, thereby presenting the outcome before it occurred?
- Does the logic model distinguish between outputs (Columns 4-5) and outcomes (columns 6-7)?
- Is the logic model a good "executive summary" for the grant request and does it accurately convey the purpose of the funding request and the expected impact on people and their community.